



# RAIL SAFE

THE NEW ZEALAND RAIL REGULATOR'S NEWSLETTER

August 2015

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## SPOTLIGHT ON HEALTH AND SAFETY

In April the NZ Transport Agency's Rail Safety Team began a risk review of its processes. A key focus has been the health and safety of external assessors working in rail environments.

This on-going review resulted in a temporary suspension of rail safety assessments by external assessors. The suspension will remain in place while the Transport Agency gathers and evaluates information about the current status of assessor's safety practices.

"Our role as the regulator is to ensure the rail industry is keeping people safe – this includes ensuring our own staff and assessors are safe when working in a rail environment," says Dave Robson, Manager Rail Safety Regulation.

Licence holders due for upcoming assessments were advised of the temporary suspension in May.

External assessors were simultaneously contacted and asked to supply details of their training and health and safety related qualifications. This information is now being collated and reviewed.

The Rail Safety Team has designed a health and safety training session for assessors which will need to be completed before they can restart undertaking assessments. The sessions will be delivered in late August in Wellington, Auckland and Christchurch.

A limited number of assessments have continued to be conducted by Rail Safety Team members who have specialised training. However until the review and its outcomes are finalised, some assessments may be delayed.

Operators who are affected or have further questions are encouraged to contact their Rail Safety Team Licence Manager.

Dave reminds operators that the annual safety assessment is a mechanism for testing an operation's safety system and related performance, rather than a direct contribution to it.

"On that basis we envisage that operators already have in place an appropriate means of assurance of their safety performance"

### NEXT STEPS: Health and Safety training sessions

24 August 2015 - Auckland

26 August 2015 - Christchurch

28 August 2015 - Wellington

## IT'S REPORTING TIME

The 2014/15 Safety Performance Report (SPR) letter, report template and guidance document should have landed in your inbox in July.

The time frame for returning your organisation's SPR has been reduced and must be completed and returned to your Licence Manager by 31 August 2015.

The SPR template is formatted to allow licensees to report information, required by the Railways Act 2005. It is an opportunity for your organisation to describe how it has managed safety over the previous 12 month period and the initiatives being undertaken to ensure continuous improvement in the future.

The completion of SPRs by all operating licensees gives the Transport Agency a snapshot in regard to defined statistics, such as the number of people working (volunteering) in the industry, the number of passengers carried and the amount of freight being moved. It also allows for licensees to identify safety initiatives which could be shared amongst peers.

Separate formats have now been developed for Industrial and Tourist/Heritage licensees to ensure the template is easier to complete. The guidance document has been amended to assist in the completion of each section of the SPR template.

KiwiRail and Transdev, as the largest licensed operators, will continue to provide their own customised SPR reports.

Senior Rail Safety Advisor Steve Lowes, who co-ordinates the SPR process, provides some guidance when it comes to completing the report:

"When we've reviewed the completed SPRs over the last two years, inconsistencies have been identified in regards to the number of reported occurrences referenced in the SPR, against the occurrence numbers we have recorded in the Rail Information System (RIS) database."

Steve advises that in order for the Transport Agency to identify the extent of this issue, all Industrial and Tourism/Heritage licensees are required to record the number and month of all occurrences they have reported to the Transport Agency in the last two years (2013/14 and 2014/15).

Once received, SPRs will be reviewed for completeness and accuracy. If any issues require clarification, your Licence Manager will contact you directly. There will also be improved oversight of the tracking process to ensure completed SPRs are received on time.

If you have any issues in regard to either receiving or completing the SPR, please contact your Licence Manager or [steve.lowes@nzta.govt.nz](mailto:steve.lowes@nzta.govt.nz). Feedback on your experience completing the SPR is also welcome.

**Safety Performance Reports**  
**DUE: 31 August 2015**



## A MESSAGE FROM THE NATIONAL MANAGER RAIL SAFETY

Rob Gould and I recently had the pleasure of speaking at the FRONZ conference in Blenheim. We appreciated having the opportunity to outline our approach to regulating the rail industry and to give an over-view of the different regulatory models.

The foundation for the rail safety environment in New Zealand is the co-regulatory model. New Zealand's rail industry has a special responsibility for holding itself accountable for managing its safety performance, developing and adhering to industry standards, codes of practice and minimum requirements. Our role as the regulator is to make sure this happens, monitoring the processes by which safety is managed across the rail sector.

Recently, our progress in this space has seen us carry out a Special Safety Assessment on an area of concern, continue our work with WorkSafe and KiwiRail in the tunnel safety improvement program, work closely with KiwiRail and Transdev to ensure a SPAD reduction strategy takes a joined-up and strategic approach, and investigate an accident in which a toddler fell from a moving train.

This work represents our intention to focus on high priority issues, to use the various tools we have available to achieve safety outcomes and to be clear about our expectations that rail licensees are managing their risks and safety appropriately.

Co-regulation is sometimes mistaken for self-regulation or a 'light touch', which is not necessarily the case. In fact the regulator will be driven by various factors in terms of its approach and focus. Largely we focus on the high risk areas; however it's also important to conduct a range of random audits and inspections to test the overall system. Where we see repeated or high risk

issues we may utilise the tools in the Railways Act to ensure that a solution is reached. You will be able to see us using a 'right tool for the right time' - in other words, we will closely scrutinise the areas we believe worthy of our attention, whilst relaxing our scrutiny on others as appropriate.

We see this model at its best when the licence holder understands its responsibility and works co-operatively with us, being open about issues and concerns and active about dealing with them. Licence holders that understand their environment, address risks and hazards, seek assurance and demonstrate appropriate safety practices and continuously improve their safety performance (looking to near-misses, accidents and incidents to understand points of failure) are among our 'high performers'.

I was impressed at our recent visit to the investigation site where an accident involving a toddler occurred. The licence holder was naturally very concerned such an event had happened and was highly motivated to resolve the issue to ensure it would not re-occur. We appreciated the level of co-operation and assistance we received as we carried out our work. There will be lessons to be learned across the industry in light of this accident. As we conclude this piece of work we look forward to reporting those safety learnings to the sector.

**Debbie Despard**

## ACCIDENT/INCIDENT FREEPHONE

We now have a freephone number for your use when reporting significant accidents and incidents.

This number can also be used when dialling from cell phones.

**0508 RAIL 555**  
**(0508 7245 555)**

The freephone number does not replace: **(04) 499 1858**

### When to get in touch?

Accidents and incidents must be reported to the NZ Transport Agency as soon as practicable using the accident or incident notification form:

**[www.nzta.govt.nz/resources/rail-incident-accident-form/](http://www.nzta.govt.nz/resources/rail-incident-accident-form/)**

If the accident or incident is significant, call the emergency numbers above within the response time stated in your safety case.

**Please note:** Advising KiwiRail does not constitute a notification to the NZ Transport Agency.

**IF IN DOUBT, CALL US**

# PROJECT UPDATE

## HUMAN FACTOR SPAD RESEARCH UNDERWAY

In the March issue of Rail Safe we told you about a research project commissioned by the NZ Transport Agency to investigate the human factors that could cause a signal to be passed at danger. Here's an update on that research...

The most important result from the project for rail operators will be the creation of a new self-assessment tool. This tool provides a 'SPAD reduction health check' and will help all rail operators better understand how their own prevention practices measure up to best practice and what more they could be doing. This is relevant to any circumstances where multiple activities can occur on the same railway line.

This self-assessment tool is being developed as the next phase of the project, and follows research into the best practice solutions for mitigating human factor causes of SPAD. The research identified similar tools being used in other safety-critical industries overseas. The project's steering committee, made up of representatives from the Federation of Rail Organisations of New Zealand, KiwiRail, Transdev, the Ministry of Transport and the Transport Agency decided the next phase of work should be to develop a version relevant to reducing SPAD.

Transport Agency Principal Advisor Chris Ballantyne explains that the proposed health check or self-assessment tool will allow operators to assess their maturity in SPAD prevention practices across their business, including culture, recruitment, technology and workload.

"The research and industry discussions that have gone on as part of this project helped identify what is 'best practice' and what an operator can do in their business" says Chris. "What makes this tool really valuable is that it then takes this huge amount of information and presents it in a way that an operator can use to do a self-assessment. The tool can be used in a workshop of staff from all parts of the business, and we expect that the discussions the health check prompts in each area will be just as valuable as obtaining a score."

The tool is particularly focused on reducing SPAD, but most of the improvements are relevant for any operations that run multiple activities on the same railway line.

"It's not just the big operators that need to worry about SPAD. Any operation that has the technical possibility of an occupancy conflict – they run multiple trains or a train while track maintenance is occurring – is at risk, even if it 'shouldn't be able to happen'." says Chris. "For these operators, because those conflict incidents are so rare they don't get the feedback that allows improvements. This tool allows them to understand where they can improve, without having to go through the unpleasant experience of having such an incident."

The tool, which has five levels for the operator to rate itself against (from 'ad hoc' to 'excellence'), has been tested by staff from KiwiRail, Transdev and Taieri Gorge Railway in a series of workshops with the developer. The final feedback from these sessions is now being incorporated into the self-assessment tool. Once the tool is finalised, the Transport Agency will consider how to ensure operators are able to make best use of it.

*Global rail consultant Interfleet is conducting the research project with Alison Moors, a UK-based expert in human factor effects in transport, engineering and manufacturing, leading the research. Alison has co-authored a paper on the results of the project with Ann Mills from the Rail Safety and Standards Board, and Phil O'Connell and Bob Stacy from KiwiRail. The paper will be presented at the 5th International Human Factors Rail Conference in London in September.*

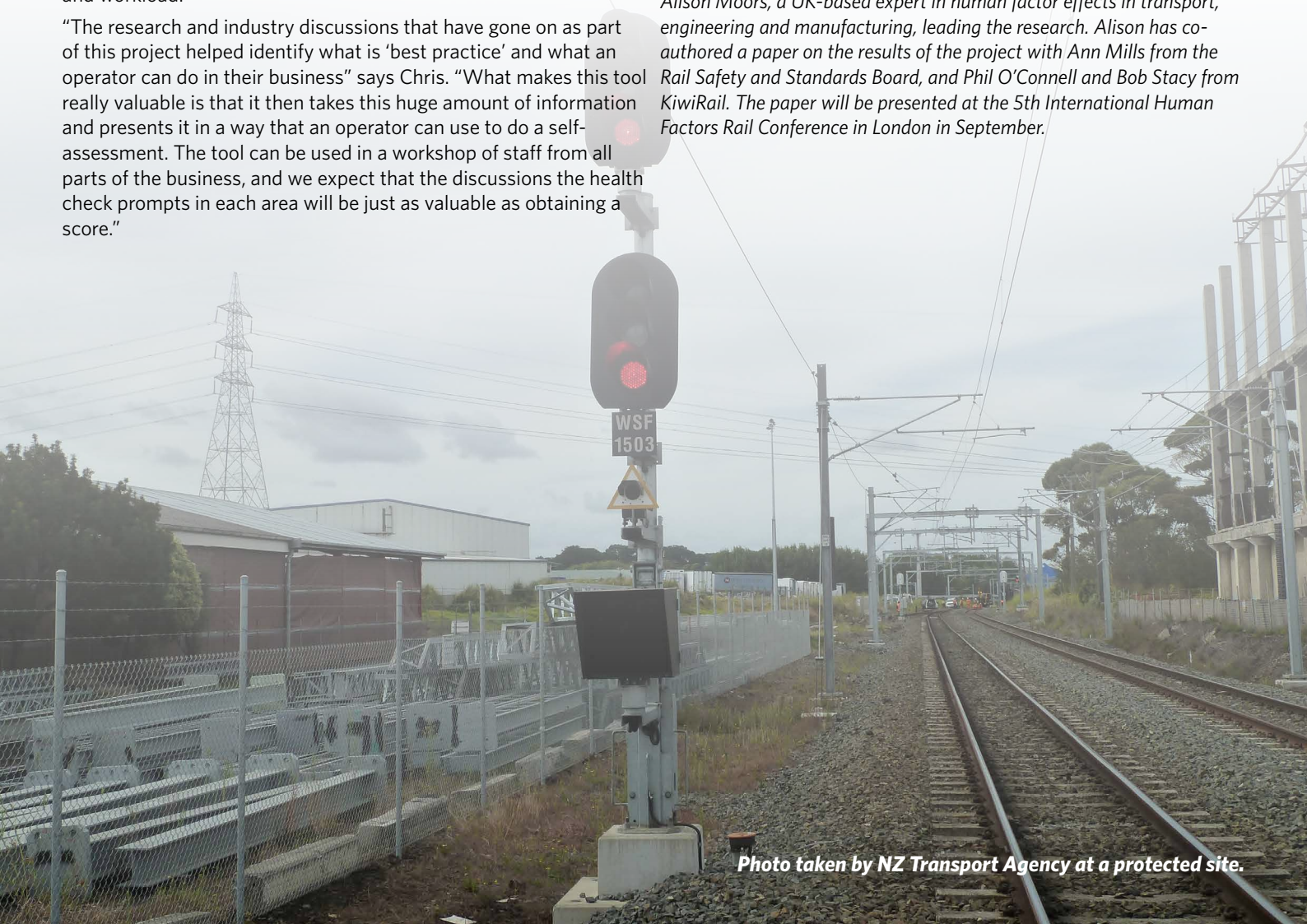


Photo taken by NZ Transport Agency at a protected site.

## EXPECT A...NEW RAIL SAFETY CAMPAIGN

A safety awareness campaign targeting drivers who frequently travel through rural and semi-rural level crossings will launch during this year's Rail Safety Week.

The 'Expect a Train' campaign, which aims at getting locals off autopilot when navigating their way across level crossings, was developed by the Transport Agency's Network User Behaviour team, with specialist input from the Rail Safety Team.

"Our research tells us that local rural drivers don't often perceive the risk of rural crossings to be very high," says Transport Agency Senior Education Advisor Adrian Stephenson.

"They can become complacent around passive level crossings which have Stop and Give Way signs and can cross without applying extra care."

The campaign starts on August 10 at Carterton's Wiltons Road level crossing with the installation of an 18 metre long stainless steel locomotive billboard and supporting signage which aims to reinforce the 'Expect a Train' message.

The campaign, funded by the Transport Agency, KiwiRail and charitable trust TrackSafe, is expected to travel to other high-risk rural level crossings throughout New Zealand in the coming months.



*The stainless steel locomotive billboard under construction in Wellington last week*

### TRANSPORT AGENCY TEAM PROFILE: Network User Behaviour Team

The Transport Agency's Network User Behaviour Team is responsible for the design of programmes and other interventions to positively influence desired behaviour around the road network including level crossings.

The team do this through national advertising and a range of education programmes. The team currently also has curriculum resources that support schools to look at rail safety with their students.

Check out: <http://education.nzta.govt.nz/>.

### WHAT'S ON YOUR RAIL SAFETY WEEK AGENDA?

The annual campaign to improve and promote safe behaviour around the rail network is happening from August 10 to 16.

Rail Safety Week is an Australasian-wide initiative encouraging rail operators and other organisations across New Zealand and Australia to come together to raise awareness about rail safety and to promote safe behaviour around trains and tracks.

This year's theme is 'Expect Trains'. The nationwide campaign will include billboard, print and radio advertising, social media and public events.

Transport Agency National Manager Rail Safety Debbie Despard says the week provides the perfect opportunity for rail

licence holders to put rail safety on the agenda within their organisations.

"While staying safe around rail operations should be business-as-usual for our rail licence holders, I'd strongly encourage you to use the week as an opportunity to enforce the message amongst your staff, volunteers and passengers that everybody has a part to play in rail safety."

Rail Safety Week begins with an official launch at Wellington Railway Station on 10 August.

The week is planned and co-ordinated by KiwiRail in close association with TrackSafe NZ, the Transport Agency, NZ Police, Auckland Transport and Transdev.

Pay a visit to [www.tracksafe.co.nz](http://www.tracksafe.co.nz) to find out more about Rail Safety Week.

# Expect trains

**Rail  
Safety  
Week**

## ON THE MOVE...

After months of planning Mainline Steam Heritage Trust (MSHT) has successfully moved its locomotives and equipment out of its former Parnell home.

Transport Agency Licence Manager Merv Harvey says the move was a major undertaking involving six safety case variations with significant collaboration between Merv, Senior Rail Advisor Graeme Hudson, MSHT and KiwiRail to ensure the safe movement of the unregistered equipment.

MSHT had been operating out of the former KiwiRail locomotive depot under lease but with the proposed re-development of the site imminent, had to find a new base for its collection.

MSHT has purchased a new site at Glenbrook near the Glenbrook Vintage Railway. The site is currently farmland and needs development. In the meantime equipment has been moved to temporary storage at Glenbrook Vintage Railway and KiwiRail's Otahuhu yard.

The last equipment to be moved was three large South African origin steam locomotives (two number 25 NC class and one GMAM Garrett class). These were temporarily relocated from the Parnell depot to KiwiRail's Quay Street yard.

The South African locomotives have a 6mm narrower dimension between the back of wheel flanges than New Zealand rolling stock. They cannot be towed through the Auckland metro area and will be trucked to storage at NZ Steel's plant at Mission Bush.



MSHT's three African-origin steam locomotives at the Quay Street yard.  
Photo courtesy of Darryl Houston

## SAFETY ALERT

### Identify your safe zone

A recent accident at an industrial site has highlighted the need for industrial operators to have safe places for employees to position themselves during rail movements.

In this instance the site did not have a pre-identified safe zone and the employee was crushed between a loading ramp/bay and an incoming rail wagon movement.

All industrial operators with loading bays are to ensure that this risk is covered in their risk assessments. This should include the implementation of appropriate mitigation actions.



For general enquiries or contact information about the Transport Agency please check our website [www.nzta.govt.nz](http://www.nzta.govt.nz) or email us at [info@nzta.govt.nz](mailto:info@nzta.govt.nz)

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50 Victoria Street  
Private Bag 6995  
Wellington 6141

Reception is located on level 2  
The Rail Safety team is located on level 3  
phone: (04) 894 5400 (option 4 – National Office)

### Rail Safety Notification Hotline

(24 hours 7 days a week)

Phone (04) 499 1858 or freephone 0508 RAIL 555 (0508 7245 555)

Rail incident reports: email us at [railregulation@nzta.govt.nz](mailto:railregulation@nzta.govt.nz)

### The Rail Safety Team

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